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To the Commissioner for Patents  
Post Office Box 1450  
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<p align="center">CERTIFICATE OF MAILING</p> <p>I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Post Office Box 1450, Alexandria, VA 22313-1450</p> <p>on <u>5/19</u>, 2003 .....</p> <p><u>Carol Marsteller</u> .....</p> <p>Signature</p>
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Re: Applicant(s): Gregory G. Cappiello, Robert H. Dueck, and Mikhail N. Sokolskiy  
Serial No. 09/724,803  
Filing Date: November 28, 2000  
For: DIFFRACTION GRATING FOR WAVELENGTH DIVISION  
MULTIPLEXING/DEMULTIPLEXING DEVICES  
Docket No.: 62171-28PT

Dear Sir:

Transmitted for filing with the Patent and Trademark Office are the following documents for the above-referenced patent application:

1. Information Disclosure Statement;
2. Form PTO-1449;
3. References AA-AV, BA-BB, and CA-CK
4. Postcard acknowledgment.

Please address all communications related to this to:

William F. Esser  
Jenkins & Gilchrist, P.C.  
1445 Ross Avenue, Suite 3200  
Dallas, Texas 75202-2799

In the event there is an under or over payment, please debit or credit our Deposit Account #10-0447. This letter is being filed in duplicate to facilitate processing.

Respectfully submitted,

*Handwritten signature: William F. Esser*

William F. Esser  
Registration No. 38,053

WFE:cj

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Docket No. 62171-28PT  
(Formerly 34013-28PT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Cappiello, et al. ) Group Art Unit: 2872  
Serial No.: 09/724,803 ) Examiner: Alessandro V. Amari  
Filed: November 28, 2000 )  
For: DIFFRACTION GRATING FOR WAVELENGTH DIVISION  
MULTIPLEXING/DEMULTIPLEXING DEVICES

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Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

In accordance with Applicant's duty under 37 C.F.R. § 1.56 and 1.97, Applicant hereby submits the attached form PTO-1449 (modified) which lists art cited. The art listed therein, while of some relevance, is not necessarily considered to teach or suggest any aspect of the invention described and claimed in the above-identified patent application. This statement is also not to be construed as a representation that a search has, or has not, been conducted or that no better art exists. Rather, this statement discloses only the best art of which the Applicant is aware.

In considering the art set forth below, it may be noted by the Examiner that certain of the references may contain markings, underlinings or other notations. These markings or notations are not to be construed as drawing the Examiner's attention either to selected parts or away from

other parts of the references. Any such markings were either present on the copies of the references obtained by Applicant, or were made thereon during the study of the references by the Applicant and/or his attorneys.

The Examiner is respectfully requested to consider each of the cited references, indicate such consideration by initialing each reference on the enclosed Form PTO-1449 (modified) and return a copy of the same with the next communication to the Applicant. For the convenience of the Examiner in considering the references, copies of the cited references are enclosed with this communication.

Respectfully submitted,



William F. Esser  
Reg. No. 38,053

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<b>Form PTO-1449 Modified</b>  <b>List of Patents and Publications Cited by Applicant (Use several sheets if necessary)</b>  <b>U.S. Patent Department of Commerce Patent and Trademark Office</b>	<b>Docket No.:</b> 62171-28PT	<b>Serial No.:</b> 09/724,803
	<b>Applicants:</b> Gregory G. Cappiello, Robert H. Dueck, and Mikhail N. Sokolskiy	
	<b>Filing Date:</b> November 28, 2000	<b>Group:</b> 2872

**U.S. PATENT DOCUMENTS**

Examiner Initial		Document No.	Date	Name	Class	Subclass
	AA	4,012,843	03/22/1977	Harada, et al.	33	19
	AB	4,153,330	05/08/1979	Tomlinson, III	350	96.17
	AC	4,219,933	09/02/1980	Kita, et al.	33	19
	AD	4,246,338	01/20/1981	Kaplan	430	496
	AE	4,387,955	06/14/1983	Ludman, et al.	350	96.19
	AF	4,846,552	07/11/1989	Veldkamp, et al.	350	162.2
	AG	5,007,708	04/16/1991	Gaylord, et al.	350	162.2
	AH	5,061,025	10/29/1991	Debesis	359	18
	AI	5,080,465	01/14/1992	Laude	359	571
	AJ	5,085,496	02/04/1992	Yoshida, et al.	359	569
	AK	5,216,680	06/01/1993	Magnusson, et al.	372	20
	AL	5,420,719	05/30/1995	Montgomery, et al.	359	566
	AM	5,422,745	06/06/1995	Williams, et al.	359	3
	AN	5,450,512	09/12/1995	Asakura	385	48

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## Form PTO-1449 Modified

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Docket No.:  
62171-28PT

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Applicants:  
Gregory G. Cappiello, Robert H. Dueck, and Mikhail N.  
Sokolskiy

Filing Date:  
November 28, 2000

Group:  
2872

## U.S. PATENT DOCUMENTS

Examiner Initial		Document No.	Date	Name	Class	Subclass
	AO	5,793,912	08/11/1998	Boord, et al.	385	37
	AP	5,835,458	11/10/1998	Bischel, et al.	369	44.12
	AQ	5,907,436	05/25/1999	Perry, et al.	359	576
	AR	5,912,997	06/15/1999	Bischel, et al.	385	15
	AS	5,914,811	06/22/1999	Chen, et al.	359	495
	AT	5,946,128	08/31/1999	Pack	359	305
	AU	5,970,190	10/19/1999	Fu, et al.	385	37
	AV	6,002,522	12/14/1999	Todori, et al.	359	573

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## FOREIGN PATENT DOCUMENTS

Examiner Initial		Document No.	Date	Country	Translation	
					Yes	No
	BA	WO 99/41858	08/19/1999	PCT	x	
	BB	EP 1 001 287 A2	05/17/2000	EPO	x	

## OTHER DOCUMENTS

Examiner Initials		Author, Title, Date, Pertinent Pages, Etc.
	CA	Boyd, et al., "High-Efficiency Metallic Diffraction Gratings for Laser Applications" <i>Applied Optics</i> , Vol. 34, No. 10, April 1, 1995, pp. 1697-1706
	CB	Perry, et al., "High-Efficiency Multilayer Dielectric Diffraction Gratings" <i>Optics Letters</i> , Vol. 20, No. 8, April 15, 1995, pp. 940-942
	CC	Harada, et al., "Transfer Function Matrix Measurement of AWG Multi/Demulti-Plexers" <i>IEICE Trans. Comm.</i> Vol. E82-B, No. 2, February 1999, pp. 401-405
	CD	Iida, et al., "Holographic Fourier Diffraction Gratings with a High Diffraction Efficiency Optimized for Optical Communication Systems" <i>Applied Optics</i> , Vol. 31, No. 16, June 1, 1992, pp. 3015-3019
	CE	Iida, et al., "Narrow-Band Ten-Channel Optical Multiplexer and Demultiplexer Using a Fourier Diffraction Grating" <i>Applied Optics</i> , Vol. 31, No. 20, July 20, 1992, pp. 4051-4057
	CF	Chowdhury, "Design of Low-Loss and Polarization-Insensitive Reflection Grating-Based Planar Demultiplexers" <i>IEEE Journal of Selected Topics in Quantum Electronics</i> , Vol. 6, No. 2, March/April 2000, pp. 233-239
	CG	Graf, "Fabrication and Evaluation of an Etched Infrared Diffraction Grating" <i>Applied Optics</i> , Vol. 33, No. 1, January 1, 1994, pp. 96-102

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		<b>Filing Date:</b> November 28, 2000	<b>Group:</b> 2872
<b>Examiner Initials</b>		<b>Author, Title, Date, Pertinent Pages, Etc.</b>	
	CH	Simova, et al., "A Complete System for Characterization of Spectrally Selective Fiber-Optic Devices" <i>Part of the 18th Congress of the International Commission for Optics: Optics for the Next Millennium</i> , SPIE Vol. 3749, August 1999, pp. 124-25	
	CI	Simova, et al., "Spectral Characterization and Chromatic Dispersion Measurements in Fiber Bragg Gratings for Dispersion Compression" <i>IEEE Instrumentation and Measurement Technology Conference</i> , May 18, 1998, pp. 712-715	
	CJ	Garrett, et al., "Ultra-Wideband WDM Transmission Using Cascaded Chirped Fiber Gratings" <i>AT&amp;T Labs, Optical Fiber Communication</i> , Optical Society of America, February 1999, pp. PD15-1 - PD15- 3	
	CK	Chua, et al., "Component Technology Enables High-Capacity DWDM Systems" <i>Lightwave</i> , August 1998, pp. 64, 66, 68-69	

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